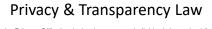


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At DHS, the Privacy Office's mission is to protect individuals by embedding and enforcing privacy protections and transparency in all DHS activities. The office builds privacy into departmental programs and conducts its activities through and pursuant to the following laws:

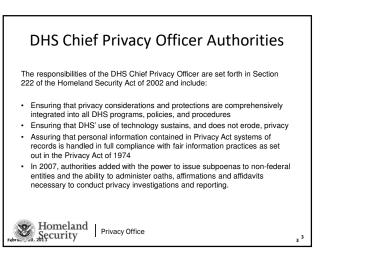
- Privacy Act of 1974 (5 U.S.C. § 552a)
- E-government Act of 2002 (Public Law 107-347)
- Freedom of Information Act of 1966 (5 U.S.C § 552)

Specific to DHS:

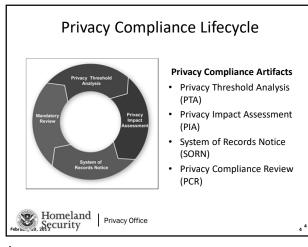
- Homeland Security Act of 2002 (6 U.S.C. § 142)
- Implementing the Recommendations of the 9/11 Commission Act of 2007 (Public Law 110-53)

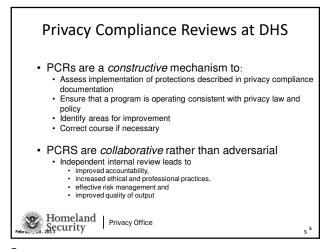
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PCR Benefits

- Constructive. Collaborative. Transparent.
 - Assure that technologies sustain and do not erode privacy protections
 - Corroborate assurances made in PIA, SORN and/or ISAA
 - Identify areas for improvement and correct course if necessary

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- Your privacy documents are promises that you need to demonstrate your program is living up to!
- Improve program & increase transparency

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How do you determine which programs get a PCR?

- Planned as part of the development of a new program or system for those that present unique privacy concerns
- Controversial issues that may heighten public scrutiny
- · Fallout from an incident or breach

✓ Consider staffing resources

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PCR Process – Step 1

Collect & Review Available Background Info

- Background sources: – PIA/SORN
 - Memoranda of Understanding (MOUs) and Information Sharing Access Agreements (ISAAs)
 - OIG and GAO reports
- The statements in the **PIA and SORN** will serve as the **baseline** for assessing a program's compliance.

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PCR Process – Step 2

Formulate Review Objectives

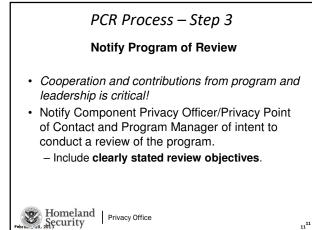
- First & foremost: assess a program's compliance with current privacy documentation and applicable DHS policies.
- Consider other objectives from:
 - MOUs and Agreements

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- Previous OIG or GAO reports
- Other privacy-related concerns voiced from the public or other medium

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PCR Process – Step 4

Formulate Review Questions & Document Requests

- Develop a set of **open-ended** questions to the specific program/IT system based on existing compliance documentation.
- Attempt to identify other review needs in advance:
 - Document requests: standard operating procedures, policies, and system audit logs
 Varies depending on the scope of the review.

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PCR Process – Step 5 Conduct Interviews & Obtain Supporting Docs Primary mechanisms for compliance reviews: Interviews with program personnel and Document reviews Gain understanding Reveal additional documents and/or SMEs to review Due diligence!

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PCR Process – Step 6

Analyze Documentation & Interviews and Draft Preliminary Findings

- Evaluate against statements made in privacy compliance documentation.
- Document review may also include activities such as review of audit logs to ensure uses of information are appropriate.
- Record of preliminary findings begins to develop.

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PCR Process – Step 7

Review and Confirm Findings

- Notify the program of preliminary findings and recommendations and confirm key facts.
 - Share a draft product with the reviewed program for their review and comment.
- Determine the appropriate format and content for documenting the results of the PCR.
- Consider recommendations that should be communicated to the program and/or to the public.

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PCR Process – Step 8

Prepare and Issue Product

- Consider comments from program and the affected Component Privacy Officer or Privacy Point of Contact.
- PCRs may result in a public report or an internal memoranda to the program principal signed by the Chief Privacy Officer.
 - If public, be transparent about findings but sensitive to the overall goal of improving program practices.

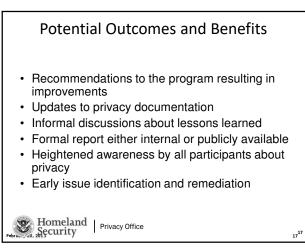
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